

# Senate Study Bill 1062 - Introduced

SENATE RESOLUTION NO. \_\_\_\_\_

BY (PROPOSED COMMITTEE ON ETHICS RESOLUTION BY  
CHAIRPERSON HORN)

1 A Resolution relating to the Senate Code of Ethics  
2 governing the conduct of members of the Senate in  
3 relation to their senatorial duties during the  
4 Eighty-fifth General Assembly.

5 BE IT RESOLVED BY THE SENATE, That the Senate Code  
6 of Ethics for the ~~Eighty-fourth~~ Eighty-fifth General  
7 Assembly shall be amended to read as follows:

8 SENATE CODE OF ETHICS

9 PREAMBLE. Every legislator owes a duty to uphold  
10 the integrity and honor of the general assembly, to  
11 encourage respect for the law and for the general  
12 assembly and the members thereof, and to observe the  
13 legislative code of ethics.

14 In doing so, members of the senate have a duty to  
15 conduct themselves so as to reflect credit on the  
16 general assembly, and to inspire the confidence,  
17 respect, and trust of the public, and to strive to  
18 avoid both unethical and illegal conduct and the  
19 appearance of unethical and illegal conduct.

20 Recognizing that service in the Iowa general  
21 assembly is a part-time endeavor and that members of  
22 the general assembly are honorable individuals who  
23 are active in the affairs of their localities and  
24 elsewhere and that it is necessary that they maintain  
25 a livelihood and source of income apart from their  
26 legislative compensation, the following rules are  
27 adopted pursuant to section 68B.31, to assist the

1 members in the conduct of their legislative affairs.

2 1. ECONOMIC INTEREST OF SENATOR. Taking into  
3 account that legislative service is part-time, a  
4 senator shall not accept economic or investment  
5 opportunity, under circumstances where the senator  
6 knows, or should know, that there is a reasonable  
7 possibility that the opportunity is being afforded the  
8 senator with intent to influence the senator's conduct  
9 in the performance of official duties.

10 2. DIVESTITURE. Where a senator learns that  
11 an economic or investment opportunity previously  
12 accepted was offered with the intent of influencing  
13 the senator's conduct in the performance of official  
14 duties, the senator shall take steps to divest that  
15 senator of that investment or economic opportunity, and  
16 shall report the facts of the situation to the senate  
17 ethics committee.

18 3. CHARGES FOR SERVICES. A senator shall not  
19 charge to or accept from a person, corporation,  
20 partnership, or association known to have a legislative  
21 interest a price, fee, compensation, or other  
22 consideration for the sale or lease of any property or  
23 the furnishing of services which is in excess of that  
24 which the senator would charge another.

25 4. USE OF CONFIDENTIAL INFORMATION. A senator in  
26 order to further the senator's own economic or other  
27 interests, or those of any other person, shall not  
28 disclose or use confidential information acquired in  
29 the course of official duties.

30 5. HONORARIA. A senator shall not accept an

1 honorarium from a restricted donor for a speech,  
2 writing for publication, or other similar activity,  
3 except as otherwise provided in section 68B.23.

4 6. EMPLOYMENT. A senator shall not accept  
5 employment, either directly or indirectly, from a  
6 political action committee or from an organization  
7 exempt from taxation under section 501(c)(4),  
8 501(c)(6), or 527 of the Internal Revenue Code that  
9 engages in activities related to the nomination,  
10 election, or defeat of a candidate for public office.  
11 A senator may accept employment from a political  
12 party, but shall disclose the employment relationship  
13 in writing to the secretary of the senate within ten  
14 days after the beginning of each legislative session.  
15 If a senator accepts employment from a political  
16 party during a legislative session, the senator shall  
17 disclose the employment relationship within ten days  
18 after acceptance of the employment.

19 For the purpose of this rule, a political action  
20 committee means a committee, but not a candidate's  
21 committee, which accepts contributions, makes  
22 expenditures, or incurs indebtedness in the aggregate  
23 of more than seven hundred fifty dollars in any one  
24 calendar year to expressly advocate the nomination,  
25 election, or defeat of a candidate for public office  
26 or to expressly advocate the passage or defeat of  
27 a ballot issue or influencing legislative action,  
28 or an association, lodge, society, cooperative,  
29 union, fraternity, sorority, educational institution,  
30 civic organization, labor organization, religious

1 organization, or professional organization which makes  
2 contributions in the aggregate of more than seven  
3 hundred fifty dollars in any one calendar year to  
4 expressly advocate the nomination, election, or defeat  
5 of a candidate for public office or ballot issue or  
6 influencing legislative action.

7 7. ECONOMIC INTERESTS OF LOBBYIST. With the  
8 exception of exercising unfettered discretion in  
9 supporting or refusing to support proposed legislation,  
10 a senator shall not take action intended to affect the  
11 economic interests of a lobbyist or citizen supporting  
12 or opposing proposed legislation.

13 8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A  
14 senator may appear before a governmental agency or  
15 board in any representation case, except that the  
16 senator shall not act as a lobbyist. Whenever a  
17 senator appears before a governmental agency or board,  
18 the senator shall carefully avoid all conduct which  
19 might in any way lead members of the general public  
20 to conclude that the senator is using the senator's  
21 official position to further the senator's professional  
22 success or personal financial interest.

23 9. CONFLICTS OF INTERESTS. In order to permit the  
24 general assembly to function effectively, a senator  
25 will sometimes be required to vote on bills and  
26 participate in committee work which will affect the  
27 senator's employment and other monetary interests. In  
28 making a decision relative to the senator's activity on  
29 given bills or committee work which are subject to the  
30 code, the following factors shall be considered:

1 a. Whether a substantial threat to the senator's  
2 independence of judgment has been created by the  
3 conflict situation.

4 b. The effect of the senator's participation on  
5 public confidence in the integrity of the legislature.

6 c. The need for the senator's particular  
7 contribution, such as special knowledge of the  
8 subject matter, to the effective functioning of the  
9 legislature.

10 A senator with a conflict of interest may  
11 participate in floor debate if prior to debate the  
12 senator indicates the conflict of interest.

13 10. GIFTS. Except as otherwise provided in section  
14 68B.22, a senator, or that person's immediate family  
15 member, shall not, directly or indirectly, accept or  
16 receive any gift or series of gifts from a restricted  
17 donor.

18 11. DISCLOSURE REQUIRED. Each senator shall file  
19 with the secretary of the senate within ten days after  
20 the adoption of the code of ethics by the senate, and  
21 within ten days after the convening of the second  
22 session of the general assembly, a statement under  
23 section 68B.35 on forms provided by the secretary of  
24 the senate setting forth the following information:

25 The nature of each business in which the senator  
26 is engaged and the nature of the business of each  
27 company in which the senator has a financial interest.  
28 A senator shall not be required to file a report or  
29 be assumed to have a financial interest if the annual  
30 income derived from the investment in stocks, bonds,

1 bills, notes, mortgages, or other securities offered  
2 for sale through recognized financial brokers is less  
3 than one thousand dollars.

4 Disclosures required under this rule shall be as  
5 of the date filed unless provided to the contrary,  
6 and shall be amended to include interests and changes  
7 encompassed by this rule that occur while the general  
8 assembly is in session. All filings under this rule  
9 shall be open to public inspection in the office of the  
10 secretary of the senate at all reasonable times.

11 The secretary of the senate shall inform the  
12 ethics committee of the statements which are filed  
13 and shall report to the ethics committee the names of  
14 any senators who appear not to have filed complete  
15 statements. The chairperson of the ethics committee  
16 shall request in writing that a senator who has failed  
17 to complete the report or appears to have filed an  
18 incomplete report do so within five days, and, upon  
19 the failure of the senator to comply, the ethics  
20 committee shall require the senator to appear before  
21 the committee.

22 12. STATUTORY VIOLATIONS. Members of the general  
23 assembly are urged to familiarize themselves with  
24 chapters 68B, 721, and 722.

25 13. CHARGE ACCOUNTS. Senators shall not charge any  
26 amount or item to any charge account to be paid for by  
27 any lobbyist or any client the lobbyist represents.

28 14. TRAVEL EXPENSES. A senator shall not charge  
29 to the state of Iowa amounts for travel and expenses  
30 unless the senator actually has incurred those mileage

1 and expense costs. Senators shall not file the  
2 vouchers for weekly mileage reimbursement required  
3 by section 2.10, subsection 1, unless the travel  
4 was actually incurred at commensurate expense to the  
5 senator.

6 15. COMPLAINTS. Complaints or charges against  
7 any senator or any lobbyist shall be in writing, made  
8 under oath, and filed with the secretary of the senate  
9 or the chairperson of the ethics committee. If filed  
10 with the secretary of the senate, the secretary shall  
11 immediately advise the chairperson of the ethics  
12 committee of the receipt of the complaint.

13 Complaint forms shall be available from the  
14 secretary of the senate, or the chairperson of the  
15 ethics committee, but a complaint shall not be rejected  
16 for failure to use an approved form if the complaint  
17 substantially complies with senate requirements.

18 A complainant may submit exhibits and affidavits  
19 attached to the complaint.

20 16. FILING OF COMPLAINTS.

21 a. *Persons entitled.* Complaints may be filed by any  
22 person believing that a senator, lobbyist, or client  
23 of a lobbyist has violated the senate ethics code, the  
24 ~~senate~~ joint rules governing lobbyists, or chapter 68B  
25 of the Iowa Code. A violation of the criminal law may  
26 be considered to be a violation of this code of ethics  
27 if the violation constitutes a serious misdemeanor or  
28 greater, or a repetitive and flagrant violation of the  
29 law.

30 b. *Committee complaint.* The ethics committee

1 may, upon its own motion, initiate a complaint,  
2 investigation, or disciplinary action.

3 c. *Timeliness of filing.* A complaint will be  
4 considered to be timely filed if it is filed within  
5 three years of the occurrence of the alleged violation  
6 of the ethics code.

7 17. PERMANENT RECORD. The secretary of the senate  
8 shall maintain a permanent record of all complaints  
9 filed, evidence received by the committee, and any  
10 transcripts or other recordings made of committee  
11 proceedings, including a separate card file containing  
12 the date filed, name and address of the complainant,  
13 name and address of the respondent, a brief statement  
14 of the charges made, and ultimate disposition of  
15 the complaint. The secretary shall keep each such  
16 complaint confidential until public disclosure is made  
17 by the ethics committee.

18 18. PREHEARING PROCEDURE.

19 a. *Defective complaint.* Upon receipt of a  
20 complaint, the chairperson and ranking member of the  
21 ethics committee shall determine whether the complaint  
22 substantially complies with the requirements of this  
23 code of ethics and section 68B.31, subsection 6. If  
24 the complaint does not substantially comply with  
25 the requirements for formal sufficiency under the  
26 code of ethics, the complaint may be returned to the  
27 complainant with a statement that the complaint is not  
28 in compliance with the code and a copy of the code.  
29 If the complainant fails to amend the complaint to  
30 comply with the code within a reasonable time, the

1 ~~chair~~ chairperson and ranking member may dismiss the  
2 complaint with prejudice for failure to prosecute.

3     b. *Service of complaint on respondent.* Upon  
4 receipt of any complaint substantially complying  
5 with the requirements of this code of ethics, the  
6 chairperson of the ethics committee shall cause a copy  
7 of the complaint and any supporting information to  
8 be delivered promptly to the respondent, requesting  
9 a written response to be filed within ten days. The  
10 response may do any of the following:

11     (1) Admit or deny the allegation or allegations.

12     (2) Object that the allegation fails to allege a  
13 violation of chapter 68B or the code of ethics.

14     (3) Object to the jurisdiction of the committee.

15     (4) Request a more specific statement of the  
16 allegation or allegations.

17     c. *Objection to member.* In addition to the  
18 items which may be included in a response pursuant  
19 to paragraph "b", the response may also include an  
20 objection to the participation of any member of the  
21 committee in the consideration of the allegation or  
22 allegations on the grounds that the member cannot  
23 render an impartial and unbiased decision.

24     d. *Extension of time.* At the request of the  
25 respondent and upon a showing of good cause, the  
26 committee, or the chairperson and ranking member,  
27 may extend the time for response, not to exceed ten  
28 additional days.

29     e. *Confidentiality.* If a complaint is not  
30 otherwise made public, the members of the committee

1 shall treat the complaint and all supporting  
2 information as confidential until the written response  
3 is received from the respondent.

4 f. *Communications with ethics committee.* After a  
5 complaint has been filed or an investigation has been  
6 initiated, a party to the complaint or investigation  
7 shall not communicate, or cause another to communicate,  
8 as to the merits of the complaint or investigation with  
9 a member of the committee, except under the following  
10 circumstances:

11 (1) During the course of any meetings or other  
12 official proceedings of the committee regarding the  
13 complaint or investigation.

14 (2) In writing, if a copy of the writing is  
15 delivered to the adverse party or the designated  
16 representative for the adverse party.

17 (3) Orally, if adequate prior notice of the  
18 communication is given to the adverse party or the  
19 designated representative for the adverse party.

20 (4) As otherwise authorized by statute, the senate  
21 code of ethics, the ~~senate~~ joint rules governing  
22 lobbyists, or vote of the committee.

23 g. *Scheduling hearing.* Upon receipt of the  
24 response, the committee shall schedule a public meeting  
25 to review the complaint and available information, and  
26 shall do one of the following:

27 (1) Notify the complainant that no further  
28 action will be taken, unless further substantiating  
29 information is produced.

30 (2) Dismiss the complaint for failure to meet the

1 statutory and code of ethics requirements for valid  
2 complaints.

3 (3) Take action on the complaint without requesting  
4 the appointment of an independent special counsel  
5 if the committee determines the complaint is valid  
6 and determines no dispute exists between the parties  
7 regarding the material facts that establish a  
8 violation. The committee may do any of the following:

9 (a) Issue an admonishment to advise against the  
10 conduct that formed the basis for the complaint and to  
11 exercise care in the future.

12 (b) Issue an order to cease and desist the conduct  
13 that formed the basis for the complaint.

14 (c) Make a recommendation to the senate that  
15 the person subject to the complaint be censured or  
16 reprimanded.

17 (4) Request that the chief justice of the supreme  
18 court appoint an independent special counsel to conduct  
19 an investigation of the complaint and supporting  
20 information, to make a determination of probable cause,  
21 and to report the findings to the committee, which  
22 shall be received within a reasonable time.

23 h. *Public hearing.* If independent special counsel  
24 is appointed, upon receipt of the report of independent  
25 special counsel's findings, the committee shall  
26 schedule a public meeting to review the report and  
27 shall do either of the following:

28 (1) Cause the complaint to be scheduled for a  
29 public hearing.

30 (2) Dismiss the complaint based upon a

1 determination by independent special counsel and the  
2 committee that insufficient evidence exists to support  
3 a finding of probable cause.

4 19. HEARING PROCEDURE.

5 a. *Notice of hearing.* If the committee causes a  
6 complaint to be scheduled for a public hearing, notice  
7 of the hearing date and time shall be given to the  
8 complainant and respondent in writing, and of the  
9 respondent's right to appear in person, be represented  
10 by legal counsel, present statements and evidence, and  
11 examine and cross-examine witnesses. The committee  
12 shall not be bound by formal rules of evidence, but  
13 shall receive relevant evidence, subject to limitations  
14 on repetitiveness. Any evidence taken shall be under  
15 oath.

16 b. *Subpoena power.* The committee may require, by  
17 subpoena or otherwise, the attendance and testimony of  
18 witnesses and the production of such books, records,  
19 correspondence, memoranda, papers, documents, and any  
20 other things it deems necessary to the conduct of the  
21 inquiry.

22 c. *Ex post facto.* An investigation shall not be  
23 undertaken by the committee of a violation of a law,  
24 rule, or standard of conduct that is not in effect at  
25 the time of violation.

26 d. *Disqualification of member.* Members of the  
27 committee may disqualify themselves from participating  
28 in any investigation of the conduct of another person  
29 upon submission of a written statement that the member  
30 cannot render an impartial and unbiased decision

1 in a case. A member may also be disqualified by a  
2 unanimous vote of the remaining eligible members of the  
3 committee.

4 A member of the committee is ineligible to  
5 participate in committee meetings, as a member of the  
6 committee, in any proceeding relating to the member's  
7 own official conduct.

8 If a member of the committee is disqualified or  
9 ineligible to act, the majority or minority leader who  
10 appointed the member shall appoint a replacement member  
11 to serve as a member of the committee during the period  
12 of disqualification or ineligibility.

13 e. *Hearing.* At the hearing, the chairperson shall  
14 open the hearing by stating the charges, the purpose of  
15 the hearing, and its scope. The burden of proof rests  
16 upon the complainant to establish the facts as alleged,  
17 by clear and convincing evidence. However, questioning  
18 of witnesses shall be conducted by the members of the  
19 committee, by independent special counsel, or by a  
20 senator. The chairperson shall also permit questioning  
21 by legal counsel representing the complainant or  
22 respondent.

23 The chairperson or other member of the committee  
24 presiding at a hearing shall rule upon procedural  
25 questions or any question of admissibility of evidence  
26 presented to the committee. Rulings may be reversed by  
27 a majority vote of the committee members present.

28 The committee may continue the hearing to a future  
29 date if necessary for appropriate reasons or purposes.

30 f. *Committee action.* Upon receipt of all relevant

1 evidence and arguments, the committee shall consider  
2 the same and recommend to the senate any of the  
3 following:

4 (1) That the complaint be dismissed.

5 (2) That the senator, lobbyist, or client of a  
6 lobbyist be censured or reprimanded, and recommend the  
7 appropriate form of censure or reprimand.

8 (3) Any other appropriate sanction, including  
9 suspension or expulsion from membership in the senate,  
10 or suspension of lobbying privileges.

11 g. *Disposition resolution.* By appropriate  
12 resolution, the senate may amend, adopt, or reject  
13 the report of the ethics committee, including the  
14 committee's recommendations regarding disciplinary  
15 action.

16 20. COMMITTEE AUTHORIZED TO MEET. The senate  
17 ethics committee is authorized to meet at the  
18 discretion of the chairperson to conduct hearings and  
19 other business that properly may come before it. If  
20 the committee submits a report seeking senate action  
21 against a senator, lobbyist, or client of a lobbyist  
22 after the second regular session of a general assembly  
23 has adjourned sine die, the report shall be submitted  
24 to and considered by the subsequent general assembly.  
25 However, the report may be submitted to and considered  
26 during any special session which may take place after  
27 the second regular session of a general assembly has  
28 adjourned sine die, but before the convening of the  
29 next general assembly.

30 21. ADVISORY OPINIONS.

1     a. *Requests for formal opinions.* A request for a  
2 formal advisory opinion may be filed by any person who  
3 is subject to the authority of the ethics committee.  
4 The ethics committee may also issue a formal advisory  
5 opinion on its own motion, without having previously  
6 received a formal request for an opinion, on any issue  
7 that is within the jurisdiction of the committee.  
8 Requests shall be filed with either the secretary of  
9 the senate or the chairperson of the ethics committee.

10    b. *Form and contents of requests.* A request for  
11 a formal advisory opinion shall be in writing and may  
12 pertain to any subject matter that is related to the  
13 application of the senate code of ethics, the ~~senate~~  
14 joint rules governing lobbyists, or chapter 68B of the  
15 Code to any person who is subject to the authority of  
16 the ethics committee. Requests shall contain one or  
17 more specific questions and shall relate either to  
18 future conduct or be stated in the hypothetical. A  
19 request for an advisory opinion shall not specifically  
20 name any individual or contain any other specific  
21 identifying information, unless the request relates  
22 to the requester's own conduct. However, any request  
23 may contain information which identifies the kind  
24 of individual who may be affected by the subject  
25 matter of the request. Examples of this latter kind  
26 of identifying information may include references to  
27 conduct of a category of individuals, such as but not  
28 limited to conduct of legislators, legislative staff,  
29 lobbyists, or clients of lobbyists.

30    c. *Confidentiality of formal requests and opinions.*

1 Requests for formal opinions are not confidential and  
2 any deliberations of the committee regarding a request  
3 for a formal opinion shall be public. Opinions issued  
4 in response to requests for formal opinions are not  
5 confidential, shall be in writing, and shall be placed  
6 on file in the office of the secretary of the senate.  
7 Persons requesting formal opinions shall personally  
8 receive a copy of the written formal opinion that is  
9 issued in response to the request.

10 22. CALCULATION OF TIME — DAYS. For purposes of  
11 these rules, unless the context otherwise requires,  
12 the word "day" or "days" shall mean a calendar day  
13 except that if the day is the last day of a specific  
14 time period and falls upon a Saturday, Sunday, or legal  
15 holiday, the time prescribed shall be extended so as to  
16 include the whole of the next day in which the offices  
17 of the senate and the general assembly are open for  
18 official business.

19 23. COMPLAINT FILING FORM. The following form  
20 shall be used to file a complaint under these rules:

21 THE SENATE

22 Ethics Complaint Form

23 Re: \_\_\_\_\_  
24 (Senator/Lobbyist/Client of Lobbyist), of  
25 \_\_\_\_\_, Iowa.

26 I, \_\_\_\_\_ (Complainant),  
27 residing at \_\_\_\_\_, in the City of  
28 \_\_\_\_\_, State of \_\_\_\_\_,  
29 hereby complain that \_\_\_\_\_  
30 (Senator/Lobbyist/Client of Lobbyist), whose address

S.R. \_\_\_\_\_

1 is \_\_\_\_\_, has  
2 violated the Senate Code of Ethics or Senate Joint  
3 Rules Governing Lobbyists in that:

4 (Explain the basis for the complaint here. Use  
5 additional pages, if necessary.)

6 Under penalty of perjury, I certify that the above  
7 complaint is true and correct as I verily believe.

8 \_\_\_\_\_  
9 Signature of Complainant

10 SUBSCRIBED AND AFFIRMED to before me this \_\_\_\_\_  
11 day of \_\_\_\_\_, \_\_\_\_\_.

12 \_\_\_\_\_  
13 Notary Public in and for the  
14 State of \_\_\_\_\_

15 24. COMPLAINT NOTICE FORM. The following form  
16 shall be used for notice of a complaint under these  
17 rules:

18	STATE OF IOWA	
19	THE SENATE	
20	COMMITTEE ON ETHICS	)
21	IOWA STATE SENATE	)
22		)
23	On The Complaint Of	) NOTICE OF COMPLAINT
24		)
25	_____	)
26		)
27	And Involving	)
28		)
29	_____	)
30		)

S.R. \_\_\_\_\_

1 TO \_\_\_\_\_,

2 Senator or Lobbyist or Client of Lobbyist named  
3 above:

4 You are hereby notified that there is now on file  
5 with the Secretary of the Senate, State Capitol, Des  
6 Moines, Iowa, a complaint which alleges that you have  
7 committed a violation of the Senate's Code of Ethics or  
8 Senate Joint Rules Governing Lobbyists.

9 A copy of the complaint and the Senate rules for  
10 processing the same are attached hereto and made a part  
11 of this notice.

12 You are further notified and requested to file your  
13 written answer to the complaint within ten days of the  
14 date upon which the notice was caused to be delivered  
15 to you, (date) \_\_\_\_\_, \_\_\_\_\_.

16 Your answer is to be filed with the Secretary of the  
17 Senate, State Capitol, Des Moines, Iowa.

18 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

19 \_\_\_\_\_  
20 Chair, Senate Ethics Committee,  
21 or Secretary of the Senate

22 25. HEARING NOTICE FORM. The following form shall  
23 be used for notice of a hearing under these rules:

24	STATE OF IOWA	
25	THE SENATE	
26	COMMITTEE ON ETHICS	)
27	IOWA STATE SENATE	)
28		)
29	On The Complaint Of	) NOTICE OF HEARING
30		)

S.R. \_\_\_\_\_

1 \_\_\_\_\_ )  
2 \_\_\_\_\_ )  
3 And Involving )  
4 \_\_\_\_\_ )  
5 \_\_\_\_\_ )  
6 \_\_\_\_\_ )

7 TO \_\_\_\_\_,

8 Senator or Lobbyist or Client of Lobbyist named  
9 above:

10 You are hereby notified that there is now on file  
11 with the Secretary of the Senate, State Capitol, Des  
12 Moines, Iowa, a complaint which alleges that you have  
13 committed a violation of the Senate's Code of Ethics or  
14 Senate Joint Rules Governing Lobbyists.

15 A copy of the complaint and the Senate rules for  
16 processing the same are attached hereto and made a part  
17 of this notice.

18 You are further notified that, after preliminary  
19 review, the committee has caused a public hearing to be  
20 scheduled on (date) \_\_\_\_\_, \_\_\_\_\_, at  
21 (hour) \_\_\_\_\_ (a.m.) (p.m.), in Room \_\_\_\_\_, State  
22 Capitol, Des Moines, Iowa.

23 At the hearing, you will have the right to appear  
24 in person, be represented by legal counsel at your own  
25 expense, present statements and evidence, and examine  
26 and cross-examine witnesses. The committee shall  
27 not be bound by formal rules of evidence, but shall  
28 receive relevant evidence, subject to limitations on  
29 repetitiveness. Any evidence taken shall be under  
30 oath.

S.R. \_\_\_\_\_

1 The committee may continue the hearing to a future  
2 date if necessary for appropriate reasons or purposes.

3 You are further notified that the committee will  
4 receive such evidence and take such action as warranted  
5 by the evidence.

6 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

7

8 \_\_\_\_\_  
9 Chair, Senate Ethics Committee,  
or Secretary of the Senate

10 26. PERSONAL FINANCIAL DISCLOSURE FORM. The  
11 following form shall be used for disclosure of economic  
12 interests under these rules and section 68B.35:

13 STATEMENT OF ECONOMIC INTERESTS

14 Name: \_\_\_\_\_  
15 (Last) (First) (Middle Initial)

16 Address: \_\_\_\_\_  
17 (Street Address, Apt.#/P.O. Box)

18 \_\_\_\_\_  
19 (City) (State) (Zip)

20 Phone: (Home) \_\_\_\_/\_\_\_\_-\_\_\_\_ (Business) \_\_\_\_/\_\_\_\_-\_\_\_\_

21 \*\*\*\*\*

22 a. Please list each business, occupation, or  
23 profession in which you are engaged. In listing  
24 the business, occupation, or profession, it is  
25 not necessary that your employer or the name of  
26 the business be listed, although all businesses,  
27 occupations, or professions must be listed, regardless  
28 of the amount of income derived or time spent  
29 participating in the activity. (Examples of types  
30 of businesses, occupations, or professions that may

1 be listed: teacher, lawyer, legislator, real estate  
2 agent, insurance adjuster, salesperson....)

3 (1) \_\_\_\_\_

4 (2) \_\_\_\_\_

5 (3) \_\_\_\_\_

6 (4) \_\_\_\_\_

7 (5) \_\_\_\_\_

8 b. Please list the nature of each of the  
9 businesses, occupations, or professions which you  
10 listed in paragraph "a", above, unless the nature of  
11 the business, occupation, or profession is already  
12 apparent from the information indicated above. The  
13 descriptions in this paragraph should correspond by  
14 number to the numbers for each of the businesses,  
15 occupations, or professions listed in paragraph "a".  
16 (Examples: If you indicated, for example, that you  
17 were a salesperson in subparagraph (1) of paragraph  
18 "a", you should list in subparagraph (1) of this  
19 paragraph the types of goods or services sold in this  
20 item. If you indicated that you were a teacher in  
21 subparagraph (2) of paragraph "a", you should indicate  
22 in subparagraph (2) of this paragraph the type of  
23 school or institution in which you provide instruction  
24 or whether the instruction is provided on a private  
25 basis. If you indicated that you were a lawyer in  
26 subparagraph (3) of paragraph "a", you should indicate  
27 your areas of practice and whether you are in private,  
28 corporate, or government practice in subparagraph (3)  
29 of this paragraph. If you indicated in subparagraph  
30 (4) of paragraph "a" that you were a consultant, in

1 subparagraph (4) of this paragraph you should indicate  
2 the kind of services provided and types of clients  
3 served.)

- 4 (1) \_\_\_\_\_
- 5 (2) \_\_\_\_\_
- 6 (3) \_\_\_\_\_
- 7 (4) \_\_\_\_\_
- 8 (5) \_\_\_\_\_

9 c. Please list each source, by general description,  
10 from which you receive, or which generates, more than  
11 one thousand dollars in gross annual income in the  
12 categories listed below. For purposes of this item,  
13 a source produces gross annual income if the revenue  
14 produced by the source is subject to federal or state  
15 income taxes. In completing this item, it is not  
16 necessary to list the name of the company, business,  
17 financial institution, corporation, partnership, or  
18 other entity which constitutes the source of the income  
19 and the amount or value of the holding should not be  
20 listed.

21 (1) Securities (Here for example, you need not  
22 state that you own X number of shares of any specific  
23 company by brand or corporate name, or that the stock  
24 is of a certain value, but may instead state that you  
25 possess stock in a company and indicate the nature of  
26 the company's business.):

- 27 \_\_\_\_\_
- 28 \_\_\_\_\_
- 29 \_\_\_\_\_
- 30 \_\_\_\_\_

1 \_\_\_\_\_

2 (2) Instruments of Financial Institutions (You  
3 need not indicate, for example, in which institutions  
4 you hold certificates of deposit that produce annual  
5 income over the one thousand dollar threshold, but  
6 simply listing the nature of the institution will  
7 suffice, e.g., bank, credit union, or savings and loan  
8 association.):

9 \_\_\_\_\_

10 \_\_\_\_\_

11 \_\_\_\_\_

12 \_\_\_\_\_

13 \_\_\_\_\_

14 (3) Trusts (The name of the particular trust need  
15 not be listed. However, if the income is received  
16 from a charitable trust/foundation, such as the Pugh  
17 Charitable Trust, in the form of a grant, the fact that  
18 the trust is a charitable trust should be noted here.):

19 \_\_\_\_\_

20 \_\_\_\_\_

21 \_\_\_\_\_

22 \_\_\_\_\_

23 \_\_\_\_\_

24 (4) Real Estate (When listing real estate, it is  
25 not necessary to list the location of the property, but  
26 the general nature of the real estate interest should  
27 be indicated, e.g., residential leasehold interest or  
28 farm leasehold interest.):

29 \_\_\_\_\_

30 \_\_\_\_\_

S.R. \_\_\_\_\_

1 \_\_\_\_\_  
2 \_\_\_\_\_  
3 \_\_\_\_\_

4 (5) Retirement Systems (When listing retirement  
5 benefits, it is not necessary to list the name of  
6 the particular pension system or company, but rather  
7 the type of benefit should be listed, e.g., health  
8 benefits, life insurance benefits, private pension, or  
9 government pension.):

10 \_\_\_\_\_  
11 \_\_\_\_\_  
12 \_\_\_\_\_  
13 \_\_\_\_\_  
14 \_\_\_\_\_

15 (6) Other Income Categories Specified in State or  
16 Federal Income Tax Regulations (List description of  
17 other sources of income producing over one thousand  
18 dollars in annual income not previously reported above,  
19 but which must be reported for income tax purposes.):

20 \_\_\_\_\_  
21 \_\_\_\_\_  
22 \_\_\_\_\_  
23 \_\_\_\_\_  
24 \_\_\_\_\_  
25 \_\_\_\_\_  
26 \_\_\_\_\_

27 (Signature of filer) \_\_\_\_\_ (Date) \_\_\_\_\_